



PTO/SB/08A (10-07)

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete if Known**

Application Number	10/633,937
Filing Date	08/04/2003
First Named Inventor	Jack J. Johnson
Art Unit	3628
Examiner Name	BORISSOV, IGOR N.
Attorney Docket Number	33472/1

Sheet 1 of 4

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1	US- 6,598,029	07/22/2003	Johnson, et al.	
	2	US- 6,202,051	03/13/2001	Woolston	
	3	US- 6,167,386	12/26/2000	Brown	
	4	US- 6,141,653	10/31/2000	Conklin, et al.	
	5	US- 6,131,087	10/10/2000	Luke, et al.	
	6	US- 6,061,660	05/09/2000	Eggleston, et al.	
	7	US- 6,047,274	04/04/2000	Johnson, et al.	
	8	US- 6,014,643	01/11/2000	Minton	
	9	US- 6,009,154	12/28/1999	Ricken, et al.	
	10	US- 5,930,773	07/27/1999	Crooks, et al.	
	11	US- 5,920,847	07/06/1999	Kolling, et al.	
	12	US- 5,894,422	04/13/1999	Chasek	
	13	US- 5,862,325	01/19/1999	Reed, et al.	
	14	US- 5,794,212	08/11/1998	Mister, Jr.	
	15	US- 5,790,642	08/04/1998	Taylor, et al.	
	16	US- 5,748,104	05/05/1998	Argyroudis, et al.	
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	18	US- 5,627,759	05/06/1997	Bearden, et al.	
	19	US- 5,615,269	03/25/1997	Micali	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	20	WO 01/75756 A1	10/11/2001	Geophonic Networks, Inc.		
	21	WO 98/38844	09/11/1998	Summit Telecom Systems, Inc.		

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	22	US- 5,606,602	02/25/1997	Johnson, et al.	
	23	US- 5,519,622	05/21/1996	Chasek	
	24	US- 5,508,913	04/16/1996	Yamamoto, et al.	
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	27	US- 5,297,031	03/22/1994	Guterman, et al.	
	28	US- 5,237,507	08/17/1993	Chasek	
	29	US- 5,168,446	12/01/1992	Wiseman	
	30	US- 3,913,829	10/21/1975	Fink	
	31	US- Re. 35,793	05/12/1998	Halpern	
	32	US- 2004/0015428A2	01/22/2004	Johnson, et al.	
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	33	Cramton, et al., "Auction Design for Standard Offer Service," Charles River Associates and Market Design, Inc, June 30, 1997 (date shown in header), 21 pages	
	34	Cramton, et al., "Rules for Standard Offer Service," Charles River Associates and Market Design, Inc, August 11, 1997 (date shown in header), 8 pages	
	35	Cramton, et al., "Auction Design for Standard Offer Service," Charles River Associates and Market Design, Inc, September 26, 1997 (date shown in header), 24 pages	
	36	Copy of PCT International Search Report in connection with International Publication No. WO 01/75756 A1 (2 sheets)	
	37	Copy of PCT International Preliminary Examination Report in connection with International Publication No. WO 01/75756 A1 (5 sheets)	
	38	Copy of PCT International Search Report in connection with International Publication No. WO 98/38844 (2 sheets)	
	39	Copy of PCT International Preliminary Examination Report in connection with International Publication No. WO 98/38844 (10 sheets)	
	40	Copy of Response to Requirement for Information filed on January 16, 2007, in connection with Application Serial No. 10/062,798, filed on January 31, 2002 (32 pages)	
	41	Robert W. Kolb, "Futures, Options & Swaps," Blackwell Publishers, Inc., Third Edition, published 1999.	
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	43	Schmerken, "Lights Out: What Killed Off the California Power Exchange?" Wall Street & Technology, April 1, 2001 (7 pages)	
	44	Sales, "CME vs. CBOT: Separate and Unequal," Wall Street & Technology, February 1, 2001 (5 pages)	
	45	Preist, "Commodity Trading Using an Agent-Based Iterated Double Auction," ACM, 1999 (9 pages)	
	46	Cory, "Expert Systems for Power Applications," IEE Review, April, 1988, pp. 147-149	
	47	Veall, "On Estimating the Effects of Peak Demand Pricing," Journal of Applied Econometrics, January, 1986, Vol. 1, pages 81-93	
	48	Engle, et al., "Modelling Peak Electricity Demand," Journal of Forecasting, 1992, Vol. 11, pages 241-251	
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	50	Weber, "Individual Welfare Maximization in Electricity Markets Including Consumer and Full Transmission System Modeling," Ph.D. Thesis, University of Illinois at Urbana - Champaign, 1999 (154 pages)	
	51	Richter, Jr., et al., "Comprehensive Bidding Strategies With Genetic Programming/Finite State Automata," IEEE Transactions on Power Systems, Vol. 14, No. 4, November, 1999 (Copyright 1998), (8 pages)	
	52	Richter, Jr., et al., "Genetic Algorithm Evolution of Utility Bidding Strategies for the Competitive Marketplace," IEEE Transactions on Power Systems, Vol. 13, No.1, February, 1997 (8 pages)	

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